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Attorneys for Respondents

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Arizona Corporation Commission

DOCKETED

AZ CORP COMMISSION  
DOCKET CONTROL

MAR 18 2009

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BEFORE THE ARIZONA CORPORATION COMMISSION

In the matter of

WACHOVIA SECURITIES, LLC  
One North Jefferson Avenue  
St. Louis, Missouri 63103

WACHOVIA CAPITAL MARKETS, LLC  
301 South College Street  
Charlotte, North Carolina 28288-0601

Respondents.

Docket No. S-20655A-09-0071

NOTICE OF APPEARANCE

NOTICE IS HEREBY GIVEN, pursuant to Rule 5.1(a)(1) of the Arizona Rules of Civil Procedure, that Keith Beauchamp of the law firm of Lewis and Roca LLP and Douglas L. Kelly of Wachovia Securities, LLC will appear in this action as counsel of record for Respondents Wachovia Securities, LLC and Wachovia Capital Markets, LLC. The Commission is scheduled to consider the Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by Wachovia Securities, LLC and Wachovia Capital Markets, LLC at the open meeting on March 19, 2009 at 10:00 a.m. Mr. Kelly's Application for Appearance *Pro Hac Vice* has been submitted to the State Bar of Arizona. A Motion and Consent of Local Counsel for Temporary *Pro Hac Vice* Admission of Douglas L. Kelly is being filed with the Commission, along with a proposed Procedural Order Granting Admission *Pro Hac Vice*.

1 RESPECTFULLY SUBMITTED this 16th day of March, 2009.

2 LEWIS AND ROCA LLP

3 By   
4 Keith Beauchamp  
5 Attorneys for Respondents

6 COPY of the foregoing hand-delivered  
7 this 16<sup>th</sup> day of March, 2009, to:

8 Cheryl Farson  
9 General Counsel  
10 Securities Division  
11 Arizona Corporation Commission  
12 1300 West Washington Avenue  
13 Phoenix, Arizona 85007

11 COPY of the foregoing mailed  
12 this 16<sup>th</sup> day of March, 2009, to:

13 State Bar of Arizona  
14 4201 North 24<sup>th</sup> Street, Suite 200  
15 Phoenix, Arizona 85016

  
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